

PPM 410

PROCESSING REFERRALS & APPLICATIONS

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GENERAL REQUIREMENTS**410.01 ACCEPTANCE AND PROCESSING OF REFERRALS AND APPLICATIONS**

All referrals and applications for vocational rehabilitation services meeting the requirements of sections 410.05 and 410.11 of this chapter must be processed in a prompt and equitable manner, as described in this chapter.

410.02 NONDISCRIMINATION

The solicitation, acceptance, and processing of all referrals and applications must be conducted in accordance with the nondiscrimination policies described in PPM 110.01.

410.03 RESIDENCY

The Vocational Rehabilitation Program will impose no duration of residence requirement as a condition of referral or application, and will not refuse a referral or application received from any individual who is present in the state, as described in PPM 110.02.

410.04 OTHER PROHIBITED FACTORS

No referral or application will be refused based solely upon:

- (1) referral source;
- (2) the types of services anticipated to be needed by the individual (should he or she be determined to be eligible for services) or the expected cost of such services;
- (3) the income level of the individual or the individual's family, or their ability or inability to participate financially in meeting the cost of needed services; or
- (4) the type of employment outcome expected.

PROCESSING REFERRALS**410.05 REFERRAL REQUIREMENTS**

An individual will be considered to have been referred for vocational rehabilitation services if the Vocational Rehabilitation Program has been:

- (1) notified regarding the individual and his or her potential need for and interest in vocational rehabilitation services; and
- (2) provided with sufficient information to establish—
 - (A) the identity (first and last name) of the individual referred,
 - (B) the individual's Social Security Number (or an alternative number assigned by IRIS); and
 - (C) at least one means by which the individual can be contacted (such as the individual's residence or mailing address, e-mail address, telephone number, fax number, or other similar contact information).

410.06 REFERRAL RECORD

For each referral received, a referral record must be generated which includes the date of the referral and the referral information described in section 410.05(2) of this chapter.

410.07 DATE OF REFERRAL

The date of referral recorded for Vocational Rehabilitation Program purposes must be the earliest date on which all of the referral requirements described in section 410.05 have been met.

410.08 CONTACTING REFERRALS

- (1) The Vocational Rehabilitation Program must attempt to contact each referral received. The purpose of referral contact is:
 - (A) to notify referred individuals regarding the need and means for making application for program services; and

(B) to secure an application from each individual referred who wishes to apply.

(2) If contact is established with the individual or the individual's representative at the time of referral (as, for example, when the individual is a walk-in or call-in self referral), the referral record described in section 410.06 of this chapter must be completed at the time of referral, or as soon as possible thereafter, but not more than seven calendar days following the date of referral.

(3) If contact is not established with the individual or the individual's representative at the time of the referral (as, for example, when the referral is made by a school, physician, or other third-party referral source), the referral record described in section 410.06 of this chapter must be completed and good-faith efforts to contact the individual or the individual's representative must be initiated. Good faith efforts to contact each individual referred:

(A) must be initiated at the time of referral, or as soon as possible, but not more than seven calendar days following the date of referral;

(B) must consist, as may be appropriate and necessary to the individual, of multiple attempts to establish contact with the individual (or with the individual's representative, if applicable) by various means of communication;

(C) must be made in the language, or utilizing the appropriate alternative format or mode of communication, of the individual or representative, to the extent that the preferred language or appropriate alternative format or mode of communication is known; and

(D) must be continued until—

(1) the individual or the individual's representative has been successfully contacted and has applied for or refused services, or

(2) following a sufficient number of contact attempts using diverse means over a reasonable period of time, a determination has been made that the individual cannot be contacted and the referral

record is inactivated and further contact attempts are terminated, in accordance with section 410.09 of this chapter.

(4) Whether contact is established at the time of referral, or later, as a result of contact efforts, once contact has been successfully established:

(A) the individual or the individual's representative must immediately be apprised regarding the need and means for making application; and

(B) if requested, an application form must be provided at the time of the request or as soon as possible thereafter, but not more than five business days following the date of the request.

410.09 TERMINATION OF A REFERRAL RECORD WITH NO APPLICATION

Contact or contact attempts with a referral may be terminated and the referral record made inactive only if, after the requirements of section 410.08 of this chapter have been met, contact cannot be established with the individual or the individual's representative, or no application for services has been presented to the Vocational Rehabilitation Program.

[REQUIRED PRACTICE. A referral record can be made inactive in referral status 00 only if no application has been submitted by the individual or the individual's representative. If the referral exits the program without having applied, the Counselor is required to change the referral status in the Indiana Rehabilitation Information System (IRIS) from "Active" to an inactive status appropriate for the individual. If the individual is later referred again, the referral record status must be changed back to "Active," and the referral information updated.]

410.10 PROVISION OF SERVICES TO REFERRED INDIVIDUALS

No vocational rehabilitation services requiring the expenditure of program case service funds can be authorized or provided for individuals who are in referral status and have not yet applied for vocational rehabilitation services.

[REQUIRED PRACTICE. Nothing in this section precludes the provision of "no-cost" services, including counseling and guidance and information and referral services.]

PROCESSING APPLICATIONS**410.11 APPLICATION REQUIREMENTS**

An individual will be considered to have applied for vocational rehabilitation services when:

(1) the Vocational Rehabilitation Program has received from the individual or the individual's representative a written request for vocational rehabilitation services consisting of an application form made available by the Vocational Rehabilitation Program, a common intake form provided by a one-stop center, or any other signed, written request for vocational rehabilitation services; and

(2) the individual—

(A) has provided the information (described in section 410.20 paragraphs (1)(A) and (B) and section 410.20 paragraph (2)(G) of this chapter) minimally required to initiate an assessment for determining eligibility and priority for services, and

(B) is available to participate in and complete the required assessment for determining eligibility and priority for services.

410.12 DATE OF APPLICATION

For Vocational Rehabilitation Program purposes, the date of application recorded must be the earliest date on which the application requirements described in section 410.11 have been met.

[REQUIRED PRACTICE. In accordance with the requirements of this section, the date of application entered into the record of services for the individual may or may not be the date on which an application form was signed by the individual or representative, but must be the earliest date on which (1) a written and signed application has been received by the Vocational Rehabilitation Program; and (2) all of the information required to initiate an assessment for determining eligibility and vocational rehabilitation needs, as described in section 410.11(2) (i.e., all of the information required to complete the referral and application screens in IRIS), has been provided to the Vocational Rehabilitation Program; and (3) the individual is available to participate in and complete the assessment for determining eligibility and priority for services. All three requirements must have been met before an application date can be entered. (Ex: If

the individual has submitted a signed written application and has provided all of the required information, but will not be available until a later date to participate in the assessment for determining eligibility and priority for services, the application date entered into the record of services must be the date on which the individual becomes available to participate, even though the application form was signed and presented and the application information was provided at an earlier time.) The record of services of an applicant must remain in VR status 02 until moved to status 04, 06, or 10, as applicable, or until it is closed to status 08.]

410.13 ASSIGNMENT OF A QUALIFIED VOCATIONAL REHABILITATION COUNSELOR

A qualified Vocational Rehabilitation Counselor employed by the Vocational Rehabilitation Program must be assigned to each individual immediately upon receipt of the individual's signed application.

[REQUIRED PRACTICE. Employees of the Vocational Rehabilitation Program and employee family members who apply for vocational rehabilitation services will be served by a Vocational Rehabilitation Counselor assigned by the Region Manager and/or the Deputy Director of Vocational Rehabilitation Services.]

410.14 RECORD OF SERVICES INITIATION

The assigned Vocational Rehabilitation Counselor must initiate and maintain a record of services for each individual who has applied.

410.15 INITIAL INTERVIEW

(1) Once contact has been established with a referral, he or she must be scheduled to meet with his or her assigned Vocational Rehabilitation Counselor, to complete the application process by:

(A) securing the information minimally required to initiate an assessment for determining eligibility and priority for services, as described in section 410.11(2); and

(B) assuring that the individual will be available to complete the required assessment for determining eligibility and priority for services, as required by section 410.11(3).

(2) The initial meeting between the individual and the assigned Vocational Rehabilitation Counselor must be scheduled within five business days for the earliest date possible, but within 30 business days, unless a later meeting date is requested by the individual or the individual's representative.

410.16 CUSTOMER HANDBOOK AND REVIEW

(1) As part of the initial interview, each applicant for vocational rehabilitation services must receive a copy of the customer handbook, *The Road To Work: An Employment Resource Guide*. The content of the handbook must be thoroughly reviewed and explained to the applicant or, if appropriate, to the individual's representative.

(2) A statement acknowledging receipt of the handbook and the review must be signed and dated by the applicant or the individual's representative and the Vocational Rehabilitation Counselor, and must be incorporated into the record of services of the individual.

410.17 INTENT TO ACHIEVE AN INTEGRATED EMPLOYMENT OUTCOME

As part of the initial interview, each applicant (and the individual's representative, if appropriate) must be informed that:

(1) the Vocational Rehabilitation Program is an employment program, and its purpose is to provide those services that are required for eligible individuals with disabilities to prepare for, enter or reenter, and maintain employment in an integrated setting of the individual's informed choice, consistent with his or her vocational strengths, resources, priorities, concerns, abilities, capabilities, and career interests;

(2) by completing the application process for vocational rehabilitation services, the individual is affirming his or her intent to seek and accept integrated employment; and

(3) the services provided with program assistance are limited to those services determined to be vocationally appropriate and necessary to achieve an integrated employment outcome.

410.18 CLOSURE OF THE RECORD OF SERVICES FROM APPLICANT STATUS

Once an individual has applied for vocational rehabilitation services, the record of services can be closed only in accordance with the requirements of PPM chapter 480.

410.19 PROVISION OF SERVICES TO APPLICANTS

Vocational rehabilitation services can be provided to individuals who have applied for vocational rehabilitation services, to the extent of:

- (1) vocational counseling and guidance, including counseling and guidance necessary to assist an individual in making informed choices;
- (2) information and referral services necessary for the individual to secure needed services from other agencies and programs, including other components of the statewide workforce investment system;
- (3) any vocational rehabilitation services necessary to initiate, conduct, and complete an assessment for determining eligibility and priority for services (including trial work experiences and/or an extended evaluation), as described in PPM chapters 420, 421, and 422; and
- (4) any other vocational rehabilitation services, including Vocational Rehabilitation Program supporting services, necessary for the individual to access and benefit from any of the services described in paragraphs (1) through (3) of this section.

RECORD OF SERVICES DOCUMENTATION REQUIREMENTS**410.20 RECORD OF SERVICES CONTENT REQUIREMENTS**

The record of services for each individual for whom a record has been initiated in accordance with section 410.14 of this chapter must include:

- (1) any verifying documentation required to document the individual's presence in the state under section 410.03 of this chapter;

- (2) the information required for referral in accordance with section 410.05 of this chapter (the individual's name and at least one method of contact);
- (3) the date of referral, determined in accordance with section 410.07 of this chapter;
- (4) information indicating that the requirements described in section 410.08 of this chapter have been met, including case notes which describe the good faith efforts made by the Vocational Rehabilitation Counselor in accordance with section 410.08(3) to contact the referral, the date of each attempted contact, the method of contact used, and its outcome;
- (5) an explanation of any decision to terminate the referral record of the individual in accordance with section 410.09 of this chapter, including the date and reason for the termination.
- (6) the written application for vocational rehabilitation services completed and signed in accordance with section 410.11(1) of this chapter;
- (7) the date of application determined in accordance with section 410.12 of this chapter;
- (8) identification of the assigned Vocational Rehabilitation Counselor, as required by section 410.13 of this chapter;
- (9) narrative case notes providing the date and outcome of the initial interview described in section 410.15 of this chapter and any subsequent contacts between the applicant or the individual's representative and the Vocational Rehabilitation Counselor;
- (10) a signed and dated statement that the customer handbook has been received and explained, as required by section 410.16(2) of this chapter; and
- (11) all additional personal, work, educational, and other information required by the Indiana Rehabilitation Information System (IRIS) to complete the application process and meet federal, state, and program reporting requirements, including—

- (A) date of birth,

- (B) gender,
- (C) the individual's Social Security Number (or an alternate number assigned by IRIS),
- (D) residence address (number and street or post office box, city, state, and ZIP code),
- (E) county of residence,
- (F) referral date,
- (G) referral source type,
- (H) if the individual was enrolled in secondary school at the time of application, the information required to identify the individual as a referral for transition services (identification of the secondary school in which the individual was enrolled, his or her expected year of graduation, and an indication that the individual had an Individualized Education Program (IEP), if such was the case),
- (I) the individual's stated disability,
- (J) race/ethnicity information,
- (K) voter registration selection,
- (L) driver's license information,
- (M) the individual's work status at application, his or her weekly earnings, and the number of hours worked per week,
- (N) the individual's primary source of support at the time of application,
- (O) types and amounts of public support received, if any, at the time of application,
- (P) the individual's application date,

(Q) the highest level of education completed at the time of application,

(R) the individual's living arrangement at the time of application,

(S) his or her migratory agricultural worker status at the time of application, and

(T) his or her affirmation of the intent to work, consent to share information, and veteran status;

(U) any fiscal documentation required to authorize and process payments for vocational rehabilitation services provided in accordance with section 410.19 of this chapter; and

(V) narrative case notes sufficient to record and, if appropriate, explain and justify, any of the items or activities noted as required by this section.

410.21 INFORMATION TECHNOLOGY SYSTEM COMPLIANCE

All required information, data, and documents must be incorporated and maintained in the record of services for the individual in a manner consistent with Indiana Rehabilitation Information System (IRIS) requirements.

[AUTHORITY: Federal regulations 34 CFR §§361.5(b)(4); 361.12; 361.39; 361.40; 361.41; 361.42(c); 361.44; 361.47; 361.54.]

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